

GAU-2872

ATENT APPLICATION

Docket No: 13676.152

PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Roger W. Phillips, et al.

Serial No.: 09/489,250

Filed: January 21, 2000

For: OPTICALLY VARIABLE SECURITY DEVICES

Art Unit
2872

#6
6 Mar 01
R. Tallent

TRANSMITTAL FOR
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is a Supplemental Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- X Form PTO-1449 list of four (4) references submitted for consideration.
- X Legible copies of the listed references or their relevant portions.
- X All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

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The following are included within the Supplemental Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

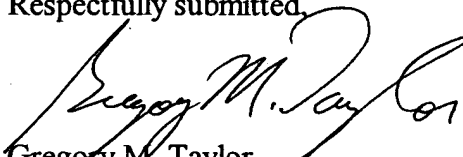
- ☒ Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.
- ☐ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- ☐ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ☐ Promptness Certification.
- ☐ Check No. _____ in the amount of \$240.00 constituting submission fee under 37 C.F.R. 1.17(p);
- ☐ Petition for Consideration and Check No. _____ in the amount of \$_____.
- ☐ In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 13th day of February, 2001.

Respectfully submitted,


Gregory M. Taylor
Attorney for Applicant
Registration No. 34,263



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PATENT TRADEMARK OFFICE
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In re application of

Roger W. Phillips, et al.

Serial No.: 09/489,250

Filed: January 21, 2000

For: OPTICALLY VARIABLE SECURITY DEVICES



Art Unit
2872

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on February 13, 2001.

~~Gregory M. Taylor~~
~~Attorney for Applicant~~
~~Registration No. 34,263~~

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Transmitted: Transmittal for Supplemental Information
Disclosure Statement
~~Supplemental Information Disclosure Statement~~
Form PTO-1449 Listing of All References
Legible Copies of All Listed References
Certificate of Deposit
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Enclosures

Docket: 13676.152

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PATENT APPLICATION
Docket No: 13676.152

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
)
 Roger W. Phillips, et al.)
)
 Serial No.: 09/489,250)
) Art Unit
 Filed: January 21, 2000) 2872
)
 For: OPTICALLY VARIABLE SECURITY DEVICES)
)

SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which

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the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each nonenglish reference, if any, are also enclosed.

Statement of Relevance of References Listed
Unaccompanied by English Translation
Under 37 C.F.R. § 1.98(a)(3)

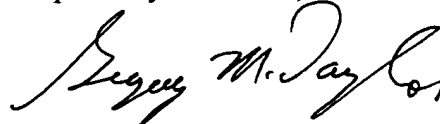
In accordance with 37 C.F.R. § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

DE 43 43 387: Visually identifiable optical security markers have at least two sections which can be identified with the naked eye, and appear as differently structured. The structure in some sections is such that when the viewing direction or illumination direction is changed, so does the optical appearance. The sections are structured so that for an observer, independently of his observation angle, adjacent sections have a clearly contrasting appearance. Each section is uniform in itself. At least one section has a light-diffracting structure, with a defined color change when the observation or illumination angle changes.

Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178
of the undersigned.

Dated this 13th day of February, 2001.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Gregory M. Taylor", followed by a small "01" at the end.

Gregory M. Taylor
Attorney for Applicant
Registration No. 34,263

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